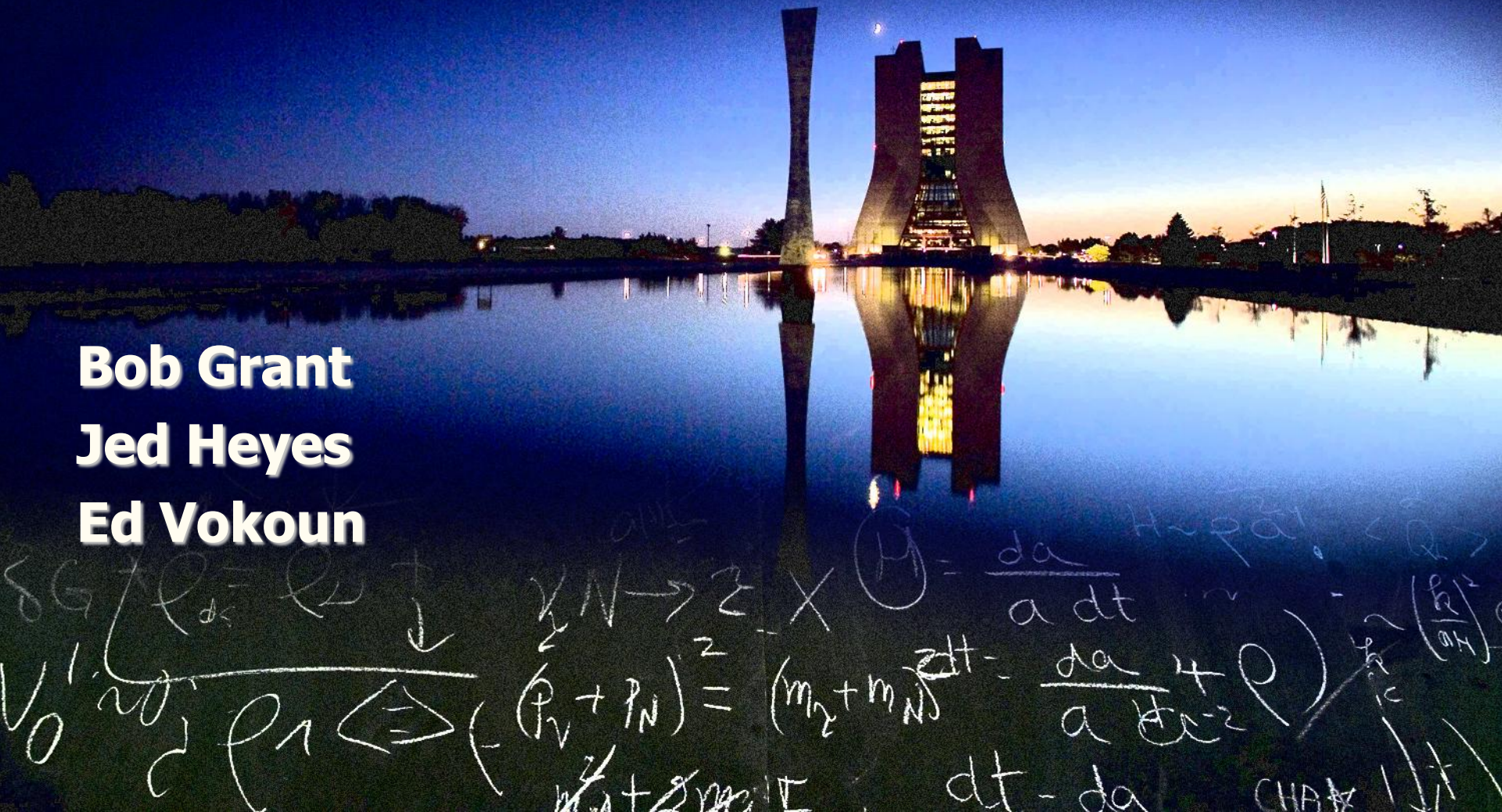


# IQA & CA Implementation

Jan 27, 2011

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# Office of Quality and Best Practices

*IQA Implementation*

## Quality Assurance Program Implementation



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## *2009 DOE QA Concerns – CAP Status*

- ◆ 4 New CAPs OQ-01/04/2010-01 thru -04
  - ❖ C1 & C2 Terms used in CAPA procedure – OQ-01/04/2010-01 – complete
  - ❖ C3 WSS/FESHM 1070 maintenance roles - OQ-01/04/2010-03 – complete
  - ❖ C6 Documentation of acceptance testing varies - OQ-01/04/2010-04
    - Inspection assessment in progress final results 04/30/2011
  - ❖ C7 & C8 Identify assessment criteria, define terms – OQ-01/04/2010-02
    - C7 FAM Mgmt. Assess. Procedure updated & posted - complete
    - C8 Other FAM updates from 2009 assessment - complete
      - Manual revised to incorporate H13 Clause requirements – complete
      - Independent Assess. Procedure updated & posted - complete
      - Next lab-wide review (includes ES&H/OQBP taskforce) by 05/31/2011

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## *2009 DOE QA Concerns – CAP Status*

### ◆ Existing As-Is CAPs

- ❖ C5 Fermilab Chief Engineer – OQ-05/22/2009-01 – IQA to be modified, Duties integrated into new Office of Program & Project Support (OPPS)
  - OQBP, OPMO, new Office of Integrated Planning (OIP)
  - Planning & support, EVMS, OHAP, Engineering Manual
- ❖ C4 & SC1 (sig. concern) Inconsistent engineering practices, lack of Engineering Manual – OQ-05/22/2009-02 – complete
- ❖ C9 & C10 S/CI roles & disposition – OQ-05/30/2009-06 – complete
  - Other activities
    - Collected training samples, S/CI Tags in inventory
    - FESHM update planned to reference the new tag
    - S/CI assessment in progress with Inspection & Test

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## *2009 DOE QA Concerns – 4 CAPs from 2006 DOE QA assessment*

- ❖ Criterion 2 Job specific training ITNAs – OQ-08/10/2009-01 - extended
  - Initial system enhancements & testing complete more in progress
- ❖ Criterion 4 Document management – OQ-08/05/2009-01(a, b & c)
  - (a) EDMS program of work completed 06/01/10 – est. Q3 FY2011
  - Other documents draft plan complete, final plan Q3 FY2011
    - Split above into two CAPs; (b) CIO IT (sharepoint etc), (c) COO (policy, process)
- ❖ Criterion 4 Records management – OQ-08/05/2009-02 – complete
  - Handbook, updated policies & procedures, required training
  - Campaign & QA assessment planned Q2-Q3 FY2011
- ❖ Criterion 8 Calibration – AD-05/07/2009-03 – extended past 11/01/2010

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## *Project QA Status*

### ◆ Science / Project QA

- ❖ Director approved project QA charge
  - Future direction may depend on head of new OPPS
- ❖ Presentation on QA to management & project teams
  - Director or new OPPS head to approve presentation
- ❖ Working with PPD QAR on QA Plans (Minerva, MicroBooNe & Mu2e)
  - Developing templates, make available to L1, L2 project managers
- ❖ Science As-Is baseline & final report completed & delivered
  - AD for Research deciding on gaps & CAPs
    - Program, & Projects (Minerva, MINOS, Muon Accelerator, D0, Lattice QCD)

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## *Assessment Program*

### ◆ OQBP QA program 3 year approach

- ❖ All organizations & processes to be assessed FY2011-FY2013
  - Against QA requirements
  - Includes Scientific Research Projects
- ❖ Priorities & sequence based on
  - Outstanding CAPS (Inspection & Test)
  - Program Maturity (Records Mgmt, M&TE)
  - V&V
  - Risk
    - Emerging issues take precedence
    - Results of previous assessments

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## *Assessment Program*

### ◆ OQBP Assessment Plan

#### ◆ FY2011

- S/CI inspection & test all D/S/Cs Q1, Q2
- Scientific Tech. Pubs. / editorial review (by request) Q1
- Records management Q2, Q3
- OQBP V&V for closed assessment CAPs all D/S/Cs Q3
- M&TE all D/S/Cs 2 Large x-cutting Q4

#### ◆ Participating in EVMS surveillance Q2



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## *Other*

- ◆ Software, frESHTRK versus Vector – Reported to CIO -> sharepoint?
- ◆ Graded Approach
  - ❖ COO considering alternatives
- ◆ Schedule consolidation – lists complete, maintenance ongoing
  - ❖ Standardizing terms coordinating with SMEs (ES&H, Internal Audit etc)
- ◆ Improved Integration with ES&H Management System
  - ❖ New ES&H/OQBP task force (SSOs & QA Mgr)
    - Updating FESHM & QA CAPA procedure
    - Next will be Fermilab Assessment Manual (FAM)
- ◆ Improved S/CI Online Training
- ◆ New Online Assessment Program Training

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## *More Discussion Items*

### ◆ FSO OQBP Joint Activities

- ❖ Next quarterly DOE QA brief by 15 Apr 2011
- ❖ Meeting to discuss FSO input on DOE assessments for consolidation
- ❖ Next FSO DOE QA assessment Q4 FY2012
  - scheduling, criteria, scope etc
- ❖ Other meetings?

# Contractor Assurance Program Implementation

# Office of Quality and Best Practices

## CA Schedule - Action Item Status

Action Item #	Topic Name	Line	Topic Description	Responsibility	Status	Comments	Timeline
1	Contract Mapping	1a	Contract mapping of SOW and Appendices/Clauses to DOE Orders and Director's Policies	Ed Vokoun	Complete		Aug 10 - mid Oct 10
		1b	Review initial contract mapping document (1a)	AC	Complete		mid Oct 10 - mid Nov 10
		1c	Map 1a, above, to programmatic documents (such as plans, manuals and procedures/implementing documents)	D/S/Cs	In process	D/S/C inputs due to OQBP 02/01/11. Have received ES&H	Dec 10 - mid Mar 11
		1d	Create plan to fill gaps, if applicable	D/S/Cs			mid Mar - Apr 11



# Office of Quality and Best Practices

## CA Schedule - Action Item Status

Action Item #	Topic Name	Line	Topic Description	Responsibility	Status	Comments	Timeline
2	Management Systems	2a	Identify management systems	Ed Vokoun	Complete		
		2b	<b>Decide:</b> -- Management System Ownership -- What documents need to be created to implement the Contractor Assurance System -- Format/content of Programmatic Manuals/Documents	Bruce Chrisman	In process	Proposed list of Management Systems and ownership in review; awaiting response from the Site Director.  Proposal structure for Programmatic documents complete; awaiting AC inputs.	Aug 10 - mid Feb 11
		2c	Write Prime Contract Change Management Procedure	Ed Vokoun	In Progress	Updated Contract Change Management process flow. Meeting for the review is scheduled with the COO.	Sep 10 - mid Feb 11
		2d	Write Manuals	MSO Owners	Proposal in review	Have only high priority manuals written and determine what procedures are needed by 07/19/11.  Note - Need review the possible list of procedures to determine what is needed.	mid Feb - mid July 11

# Office of Quality and Best Practices

## CA Schedule - Action Item Status

Action Item #	Topic Name	Line	Topic Description	Responsibility	Status	Comments	Timeline
3	Define New Policy Manual	3a	<b>Agree on:</b> --What is a policy? --Levels of policies?	Ed Vokoun for AC review	In process	Draft Policy on Policies complete and has been review by AC; awaiting final approval by the Site Director.	mid Sep 10 - Feb 11
		3b	<b>Agree on:</b> --What policies Fermilab will have --Ownership	Ed Vokoun for AC review	In process	Draft list has been provided to the AC for review; the list may change after D/S/Cs complete contract mapping. (Targeting 02/15/11 for completion)	mid Oct 10 - mid Feb 11
		3c	Establish document control protocols for policies --Change management --Format of policies	Bruce Chrisman	In process	Proposed process approved; needs to be combined with Fermi Document Management System.  Need to determine a path forward and timeline.	Feb 11 - mid Apr 11

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## CA Schedule - Action Item Status

Action Item #	Topic Name	Line	Topic Description	Responsibility	Status	Comments	Timeline
4	Create New Policy Manual	4	Revise existing policies and write new policies as required	Ed Vokoun - AC - D/S/C	In process	See list in Action Item # 3b.  Have only high priority policies and manuals written by 07/19/10	Feb 11 - mid July 11
5	Management Review Procedure	5a	Draft Mgmt Review Procedure	Ed Vokoun	In process	Draft complete; awaiting item 13 - CAS Description - approval in case revision is needed.  NOTE - 5, 6, and 7a will be defined by completing the Management Review Procedure.	TBD
		5b	Review & Approve Mgmt Review Procedure	Bruce, FRA Representative, Pier Oddone	On hold per item 5a		
6	Establish Board of Directors role	6	Establish Board of Directors role	Bruce, FRA Representative, Pier Oddone	On hold per item 5a	Will be defined by completing the Management Review Procedure	Potential change in end date Original dates: Dec 10 - mid Apr 11
7	Reporting and Metrics	7a	Establish reporting methods to the BoD	Bruce, FRA Representative, Pier Oddone	On hold per item 5a	Will be defined by completing the Management Review Procedure	
		7b	Establish metrics for management systems	MSOs - D/S/Cs and AC		Awaiting item 2b - list of Management Systems - and item 13 - CAS Description - approval.	Apr 11 - May 11

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## CA Schedule - Action Item Status

Action Item #	Topic Name	Line	Topic Description	Responsibility	Status	Comments	Timeline
8	Revise FICAP	8a	Draft FICAP revision	Ed Vokoun	Not due to start	Awaiting item 2b - list of Management Systems - and item 13 - CAS Description - approval.	mid Mar 11 - mid Apr 11
		8b	Review & Approve FICAP	Bruce Chrisman, FRA Representative, Pier Oddone			mid Apr 11 - mid Jun 11
		8c	Formalize worker feedback system (proceduralize)	WDRS	On Hold	Need to agree on SOW; then determine schedule  Need to convene meeting with Bruce Chrisman, Kay Van Vreede, and Ed Vokoun to discuss.  Proposal is to perform an As-Is or survey on this topic and then, write the document.	TBD

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## CA Schedule - Action Item Status

Action Item #	Topic Name	Line	Topic Description	Responsibility	Status	Comments	Timeline
9	Revise Comprehensive Assessment	9	Revise Comprehensive Assessment Manual and schedule to accommodate changes in Contractor Assurance	Jed Heyes	Manual complete; Refining schedule	D/S/C data being reviewed to determine a schedule proposal.	TBD
10	Communicate CAS to Fermilab	10a	Communicate CAS Program	OQBP	In process	FRA, Fermilab senior management, and AC meetings on-going.	Aug 10 - Aug 11
		10b	Train Fermilab regarding CAS requirements	OQBP	In process	DOE/FRA Training Materials complete; initial DOE training complete; one member FRA training complete.  Fermilab training approach needs review; need to further develop the communications plan  NOTE - Some level of awareness/communication will need to be done for every employee.	mid Mar - Aug 11



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## CA Schedule - Action Item Status

Action Item #	Topic Name	Line	Topic Description	Responsibility	Status	Comments	Timeline
11	Benchmarking	11a	Establish Benchmarking Requirements	OQBP - Bruce Chrisman	Not due to start		Mar 11
		11b	Write Benchmarking Procedure	OQBP			mid Mar 11 - mid May 11
		11c	Implement benchmarking process	OQBP		Will complete up to having an implementation plan developed for this item by CAS Peer Review.	mid May 11 - Aug 11
12	Graded Approach	12a	Determine Graded Approach Methodology (plus test cases)	OQBP - Bruce Chrisman	In process	Proposal complete and submitted to COO/AC Chair for review.  NOTE - Intended for use at senior management level.	Oct10 - mid Jan 11
		12b	Write Graded Approach Procedure	OQBP	On Hold	Awaiting review item 12b and direction from COO/AC Chair  Action item ownership may be changed	Feb 11 - March 11
		12c	Implement Graded Approach Procedure	D/S/C - AC			July 11 start
13	Contract Assurance System Description	13a	Determine CAS Description Approach	OQBP - Bruce Chrisman	Complete	New as of 10/05/10	Nov 10
		13b	Write CAS Description	OQBP	In process	Initial draft in review 01/18/11.	Dec 10 - mid Mar 11

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Questions?